



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

WILLIAM R. WATT II, ET AL.

Application No.: 10/733,700

Filed: December 11, 2003

For: **Auction with Interest Rate Bidding**

Art Group:

Examiner:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

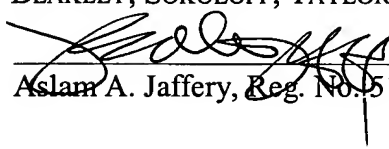
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement (IDS) for the above-referenced patent application. In the concurrently filed electronic IDS submission, it was requested that any requisite fees be debited from Deposit Account 02-2666. Applicant respectfully requests that only one fee be debited for these concurrently filed IDS submissions if such fees are required.

Respectfully submitted,

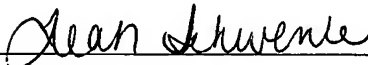
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: April 06, 2004


Aslam A. Jaffery, Reg. No. 51,841

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (303) 740-1980

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Leah Schwenke

04-06-04

Date



FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Complete if Known

Application Number	10/733,700
Filing Date	December 11, 2003
First Named Inventor	William R. Watt II
Examiner Name	
Art Unit	
Attorney Docket No.	3801P159

☒ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account

Deposit
Account
Number

02-2666

Deposit
Account
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES

Total Claims - 20* = X =
Independent Claims - 3 = X =
Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

*or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3)					(\$)

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type) Aslam A. Jaffery

Registration No.
(Attorney/Agent)

51,841

Signature

Complete (if applicable)

Telephone (303) 740-1980

Date

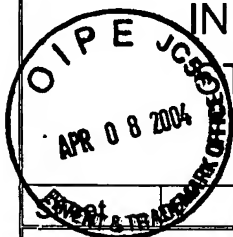
04/06/04

Substitute for Form 1449/PTO

INFORMATION DISCLOSURE

STATEMENT BY APPLICANT

(use as many sheets as necessary)



of

8

Complete if Known

Application Number	10/733,700
Filing Date	12/11/2003
First Named Inventor:	Watt II
Art Unit	
Examiner Name	
Attorney Docket Number	003801.P159

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
		US-				
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
		FR	2 658 635	-	08-23-1991	Assabgui Mourad		
		WO	96/34356	-	10-31-1996	Woolston, Thomas, G.		
		NL	9300266	-	09-01-1994	Hubertus, Theodoor, et al.		
		WO	92/15174	-	09-03-1992	Grusin, Hillsard, et al.		
		PCT WO	97/37315	-	10-19-1997	Onsale, Inc.		
		PCT WO	99/63461	-	12-09-1999	Dinwoodie		
		PCT WO	99/18510	-	08-12-1999			
		PCT US	00/32088	-	11-20-2000			

Examiner
Signature

Date Considered

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/733,700
				Filing Date	December 11, 2003
				First Named Inventor:	Watt, II et al.
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	2	of	8	Attorney Docket Number	003801.P159

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"Auctions, The Social Construction of Value," Charles W. Smith, University of California Press, Berkeley, 1990	
		Company Launches Reverse Auction Site, Carey McConkey, The State News, 10/25/99	
		BANATRE, J-P, et al. "The Design and Building of Enchere, A distributed Electronic Marketing System". "Communications of the Association for Computing Maiciner, New York, NY, US. Vol. 29, No. Jan. 1986, pp 9-29, XP000002077.	
		SHULMAN, Richard E., VCS and quick response: Priority Issues for Mass Merhandisers, Oct. 1989 Supermarker Business, v44, n10, pp13(4).	
		ROCKOFF, Todd E. et al., " Design of an Internet-based system for remote Dutch auctions," Internet Research" Electronic Networking Applications and Policy, vol. 5, No. 4, 1995, pp. 10-16	
		BOOKER, Ellis "Mega Real Estate Auction Counts on Imaging," Computerworld, Dec. 7, 1982, p. 20.	
		DYSON, Esther "Information, Bid and Asked," Forbes, Aug. 29, 1990, p.92.	
		TENENBAUM, Jay M. et al., "CommerceNet: Spontaneous Electronic commerce on the Internet," 1995 IEEE Spring Compcn, pp. 38-43.	
		ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for The Computer Museum in Boston" Mountain View, CA, May 22, 1995, 4 pgs.	
		The Computer Museum brings auction block to cyberspace in First Internet Auction," Business Wire, Business Wire, Inc. Mar. 14. 1994, 2 pgs.	
		"AUCNET TV Auction Network System," Harvard Business School, 9- 190-001, Jul. 19, 1989, 1 pg.	

Examiner Signature	Date Considered
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Sheet	3	of	8	Attorney Docket Number	003801.P159
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
		"AUCNET: The Story continues," Harvard Business School, 2-195-122, Jan. 17, 1995, 1 pg.			
		COHEN, Danny "Electronic Commerce," University of Southern California, Information Sciences Institute, ISI Research Report, ISI/RR-89-244, Oct. 1989, cover, index, pgs. 1-19; 31-33.			
		FRANKLIN, Matthew K. et al., "The Design and Implementation of a Secure Auction Service," 1995 IEEE Symposium on Security and Privacy, Oakland, California, May 8-10, 1995, pp. 2-14.			
		GRAVES, Robert L. et al., "An Auction Method for course Registration," INTERFACES 23:5, Sep. Oct., 1993, pp. 81-92.			
		MCCABE, Kevin A. et al., "Smart Computer-Assisted Markets," Science, Vol. 254, Oct. 25, 1991, pp. 534-538.			
		TUROFF, Murray et al., "An Electronic Information Marketplace," North-Holland Computer Networks and ISDN Systems 9 (1985), pp. 79-90.			
		FREEMAN, Brian et al., "Hosting Services—Linking The information Warehouse to the Information Consumer," IEEE Spring Compcon 1994, pp. 165-171.			
		VARIAN, Hal. R. "Economic Mechanism Design for computerized Agents," USENIX Association, Proceedings of the First USENIX Workshop of Electronic Commerce, New York, New York, Jul. 11-12, 1995, pp. 13-21.			
		SIRBU, Marvin et al., "NetBill: An Internet Commerce System Optimized for Network Delivered Services," IEEE 1995 Spring Compcon, pp. 20-25.			
		SCHMITZ, Tom, "California Computer Auctions No Boon for Bargain Hunters", September 13, 1993, San Jose Mercury News, Calif., 4 pgs.			
		MASKERY, Maryann, "Car auction reaches into space", Automotive News, November 25, 1991, p. 6, 3 pgs.			
Examiner Signature					Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

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		ANDERSON, Scott et al., "the Efficiency of Experimental Asset Markets: Empirical Robustness and Subject Sophistication," Research in Experimental Economics," The Journal of Economic Education, Fall 1993, Vol. 24, No. 4, pgs. 107-190.			
		WILLIAMS, Arlington W. and WALKER, James M. "Computerized Laboratory Exercises for Microeconomics Education: Three Applications Motivated by Experimental Economics" The Journal of Economic Education Fall 1993 Vol. 24 No. 4, 13 pgs.			
		SAEKI, Motosh et al., " Supporting Distributed individual Work in Cooperative Specification Development," Nov. 15, 1995, pp. 232-247.			
		HELINSKI, Paul "Automating Web-Site Maintenance Part 2, Perl-based tools to manage your Web site," Web Techniques, December 1996, pp. 75-76 & 78.			
		"Computer Museum hosts Internet auction," Computerworld, March 28, 1994, 1 pg.			
		"Seventh Annual InterMac Users Group Education Symposium," Computerworld, March 28, 1994, same page as above reference.			
		"Auctioning off Relics of the Computer Age," Business Week, April 11, 1994. 1 pg.			
		"The Computer Museum Brings Auction Block to Cyberspace in First Internet Auction," March 11, 1994 press release, 1 pg.			
		"First-ever Internet Auction Produces Results for the Computer Museum," April 28, 1994 press release, 4 pgs. (duplicate releases)			
		"First Internet Auction," Computer Literacy Book Bulletin (no date), 1 pg.			
		"Unusual Farmland Auction Set," Liquidation Alert, Harrison Scott Publications, Inc., March 28, 1994, 2 pgs.			
Examiner Signature				Date Considered	

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NON PATENT LITERATURE DOCUMENTS					
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		EDELL, Richard J. "Billing Users and Pricing for TCP," IEEE Journal on Selected Areas in Communications, Vol. 13, No. 7, September 1995, pp. 1162-1175			
		BANATRE, Michael, "Distributed Auction Bidding System," Computer Communications, Vol. 4, No. 4, August 1981, pp. 179-186.			
		NEO, Boon Siong, "The Implementation of an Electronic Market for Pig Trading in Singapore," The Journal of Strategic Information System December 1992 Vol. 1 No. 5, cover, 2 pg. index, pgs. 278-288.			
		Business Report, Feedstuffs, "DTN Superior to Offer Dialing Electronic Acution," February 8, 1993, 1 pg.			
		RECK, Martin, "Types of Electronic Auctions," ST.GALLEN, Hochschule [no date; ref. at end of article M. Reck: "The Identification and Formal Specificaion of Electornic Markets Types," paper presented at the lclS Doctoral Consortium, Dallas (TX), 1992], pgs. 236-243.			
		MC CARTHY, GENE, "The Electronic Auctioning of Servicing" Mortgage Banking, December 1994, pgs. 96-98.			
		JOHNSON, Alonzo, "Multiple Unit Double Auction User's Manual," Social Science Working Paper 676, Division Of The Humanities and Social Sciences California Institute of Technology, June 1988. Revised September 1989, pgs. EO296352-EO296369.			
		FORSYTHE, Robert, NELSON, Forrest, NEUMANN, George, and WRIGHT, Jack " The Iowa Presidential Stock Market: A Field Experiment Research in Experimental Economics, Vol. 4, ISBN: 0-89232-652-2, pgs. 1-43.			
		Cassini Resource Exchange User's Guide. California Institute of Technology. E 0296417. April 1993, pgs. E0296417-E0296435.			
		O'DELL, John "Automobiles" The Los Angeles Times copyright, The Times Mirror Company; Los Angeles Times 1994 All Rights Reserved, pgs. 13-14.			
		THOMAS, Charles M. "Automotive News" Copyright 1994 Crain Communications Inc. E0270864. September 19, 1994, pgs. 11-12.			
Examiner Signature				Date Considered	

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NON PATENT LITERATURE DOCUMENTS					
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		Omaha World-Herald Company. Omaha World Herald. September 11, 1994. Business Section, pgs. E0295270-E0295273.			
		LEDYARD, John O., PORTER, David & RANGEL, Antonio "Using Computerized Exchange Systems to Solve an Allocation Problem in Project Management," pgs. E0296459-E0296484.			
		ANAND, R. et al., Research Report, The Electronic Flea Market," RC 19678 (87230) 7/28/94, IBM Research Division, cover and pgs. 1-18.			
		WEISS, Aaron "The Virtual Flea market," Internet World, June 1995, pp. 54-57.			
		LITTLEFAIR, T. "Homelink: a unique service," Computer bulletin, June 1986, pp. 12-13.			
		Copyright 1995 Investor's Business Daily, Inc. Investor's Business Daily February 24, 1995. "How Auction Technology Sped and Enhanced Sale of Radio Licenses," 3 pgs.			
		SAMMER, Harald W. "Online Stock Trading Systems: Study of an Application," IEEE Spring Compcon 1987, pgs. 161-162.			
		MALONE, Thomas W. et al., "Electronic Markets and Electronic Hierarchies," Communications of the ACM, Vol. 30. No. 6, June 1987, pgs. 484-497.			
		Court of Appeals for the Federal Circuit, In re Schrader, 30 USPQ 2d, 1455-1462; claim 1 of application at issue cited at column 2, pgs. 1456-1462.			
		HENG-WAH, Choy, "Electronic Stamp Auction," Google Groups View Thread, 6/17/94, 1 pg.			
		JACKSON, Ed, "Too much commercial offers," Google Groups, 3/13/96, 2 pgs.			
Examiner Signature				Date Considered	

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Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/733,700
				Filing Date	December 11, 2003
				First Named Inventor:	Watt, II et al.
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	7	of	8	Attorney Docket Number	003801.P159
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
		Zwass, Vladimir, "Electronic Commerce: Structures and Issues", <u>International Journal of Electric Commerce</u> , Fall 1996, Pages 3-23, Vol. 1, No. 1			
		Van Heck, E. Ribbers, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6			
		Lee, HG., "Aucnet: Electronic Intermediary for Used-car Transactions" <u>Focus Theme</u> , No Date Given, Pages 1-5			
		Klein, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4			
		Turban, E. "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given, Pages 1-5			
		Schmid, BF., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No.9/10			
		Tjostheim, I; Eide, J. "A case study of an on-line auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Give, Pages 1-10			
		Graham, I. "The Emergence of Linked Fish Markets in Europe", <u>Focus Theme</u> , No Date Given, Pages 1-3			
		Reck, Martin., "Trading-Process Characteristics of Electronic Auctions" <u>Focus Theme</u> , No Date Given, Pages 1-7			
		Mardesich, J., "Onsale Takes Auction Gavel Electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California			
		"Onsale joins fray as online shopping picks up speed: Internet Booms", <u>Computer Reseller News</u> , June 5, 1995, Pages 73, CMP Publications, Inc., USA.			
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		Siegman, Ken, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42, Ziff-Davis Publishing Company			
		Reck, Marting, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, NY.			
		"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technical Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3			
		Lee, G. "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV			
		Clemons, E; Weber B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol. 12			
		Massimb, MN; Phelps, BD, Electronic Trading, Market Structure and Liquidity", <u>Financial Analysis Journal</u> , January -February 1994, Vol. 50, No. 1, Pages 39-50, Charlottesville, Virginia			
		Post, DL; Coppinger SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3			
		Hess, CM; Kemerer, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No. 3, Pages 251-174			
		Chris Preist, Marten van Tol, "International Conference on Information and Computation Economies", <u>Adaptive Agents in a Persistent Shout Double Auction</u> , (c) 1999, Pages 2.			
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